



CF/028

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant Andrew C. Gilbert

Application No. : 09/858,091 Confirmation No. : 2562

Filed : May 15, 2001

For : SYSTEMS AND METHODS FOR SHIFTING BIDS  
AND OFFERS IN A TRADING INTERFACE

Group Art Unit : 3624

Examiner : Steven R. Wasylchak

Mail Stop AMENDMENT  
Hon. Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure Statement in the above-identified application. This Statement is submitted more than three months from the application filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of either a final action or a notice of allowance.

03/10/2005 LWONDIM1 00000005 09858091

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In accordance with 37 C.F.R. § 1.97 (c) (2), applicant has enclosed a check in the amount of \$180.00 in payment of the fee for submission of an Information Disclosure Statement. The Director is hereby authorized to charge payment of any additional fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,

*Adam M. Saltzman*

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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicant wishes to call the attention of the Examiner to  
the following documents:

U.S. Patent Documents

6,112,189	Rickard et al.	08/29/2000
6,098,051	Lupien et al.	08/01/2000
6,016,483	Rickard et al.	01/18/2000
5,845,266	Lupien et al.	12/01/1998
5,809,483	Broka et al.	09/15/1998
5,101,353	Lupien et al.	03/31/1992

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Foreign Patent Documents

EP 1 118 953 A2	EPO	07/25/2001
WO 00/26834 A2	PCT	05/11/2000
WO 96/34357	PCT	10/31/1996
EP 0 401 203 A2	EPO	12/05/1990

These documents are listed on the accompanying Form SB/08 (submitted in duplicate). In accordance with 37 C.F.R. § 1.98(a)(2), copies of the foreign patent documents are enclosed herewith.

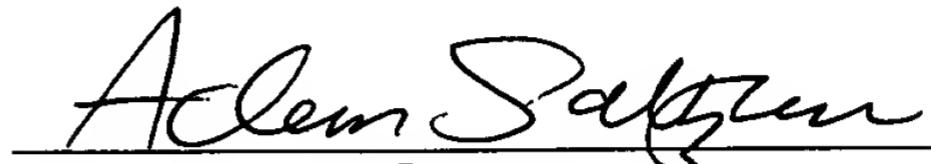
Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

It is respectfully requested that these documents be: (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application.

Applicant requests that a copy of Form SB/08, as considered and initialized by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to  
this patent application is respectfully requested.

Respectfully submitted,

  
\_\_\_\_\_  
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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

1

of

1

**Complete if known**

Application Number	09/858,091
Confirmation Number	2562
Filing Date	May 15, 2001
First Named Inventor	Andrew C. Gilbert
Art Unit	3624
Examiner Name	Steven R. Wasylchak

Attorney Docket Number

CF-28

**U.S. PATENT DOCUMENTS**

Examiner initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number – Kind Code <sup>2</sup> (if known)			
		6,112,189	08/29/2000	Rickard et al.	
		6,098,051	08/01/2000	Lupien et al.	
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		Country Code <sup>1</sup> - Number <sup>2</sup> - Kind Code <sup>3</sup>				
		EP 1 118 953 A2	07/25/2001	EPO		
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		WO 96/34357	10/31/1996	PCT		
		EP 0 401 203 A2	12/05/1990	EPO		

**NON PATENT LITERATURE DOCUMENTS**

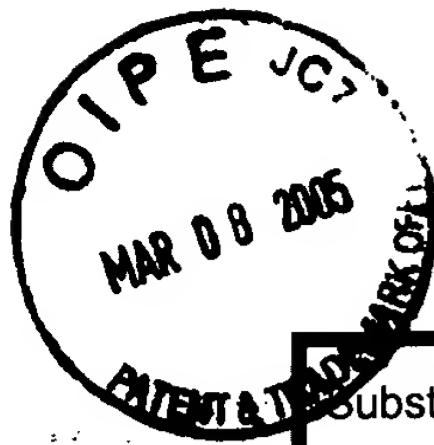
Examiner initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>

Examiner Signature	Date Considered
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\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.



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Substitute for form 1449/PTO				<b>Complete if known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	09/858,091
(use as many sheets as necessary)				Confirmation Number	2562
Sheet	1	of	1	Filing Date	May 15, 2001
				First Named Inventor	Andrew C. Gilbert
				Art Unit	3624
				Examiner Name	Steven R. Wasylchak
				Attorney Docket Number	CF-28

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